GENERAL INFORMATION - MANAGEMENT CONTROL PROGRAM
DoD FUNCTIONAL CATEGORIES

1. Research, Development, Test, and Evaluation[1]. Covers basic project definition, approval, and transition from basic research through development test, and evaluation and all DoD and contractor operations involved in accomplishing the project work, excluding the support functions covered in separate reporting categories such as Procurement and Contract Administration.

2. Major Systems Acquisition[1]. Covers items designated as major systems and that are subject to the procedures of the Defense Acquisition Board, the Military Services Acquisition Review Councils, or the Selected Acquisition Reporting System. DoD Directive 5000.1 of 23 October 2000 may be helpful when evaluating a weakness for inclusion in this category.

3. Procurement. Covers the decisions to purchase items and services together with certain actions to award and amend contracts (e.g., contractua provisions, type of contract, invitation to bid, independent Government cost estimate, technical specifications, evaluation and selection process, pricing, and reporting).

4. Contract Administration[1]. Covers the fulfillment of contractual requirements including performance and delivery, quality control, and testin to meet specifications, performance acceptance, billing and payment controls justification for contractual amendments, and actions to protect the best interests of the government.

5. Force Readiness. Includes the operational readiness capability of comba and combat support (both Active and Reserve components) forces, based on analysis of the use of resources to attain required combat capability or readiness levels.

6. Manufacturing, Maintenance, and Repair. Covers the management and operation of in-house and contractor-operated facilities performing maintenance and repair of, and/or installation of modifications to, material equipment and supplies. Includes depot and arsenal-type facilities as well as intermediate and unit levels of military organizations.

7. Supply Operations. Encompasses supply operations at the wholesale level (depot and inventory control point) from the initial determination of material requirements through receipt, storage, issue reporting, and inventory control (excluding the procurement of materials and supplies). Covers all supply operations at retail level (customer), including the accountability and control for supplies and equipment of all commodities in the supply accounts of all units and organizations (excluding procurement of material, equipment and supplies).

8. Property Management. Covers construction, rehabilitation, expansion, improvement, management and control over real and installed property and facilities (both military and civil works construction). Includes all phase of property life-cycle management from determination of need through disposition. Also covers disposal actions for all material, equipment and supplies, including the Defense Reutilization and Marketing system.

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[1]Not applicable to COMNAVRESFORCOM

9. Communications, Security, and/or Intelligence. Covers the plans, programs, operations, systems, and management activities for accomplishing the communications and intelligence missions. Includes safeguarding classified resources but not peripheral assets and support functions covered by other reporting categories. Also covers the DoD programs for protection of classified information.

10. Information Technology. This area covers the design, development, testing, approval, deployment, use and security of electronic data processin systems, computers, and other technologies for processing management information. Includes requirements justification for equipment and software

11. Personnel and/or Organization Management. Covers authorizations, recruitment, training, assignment, use, development and management of military, and civilian personnel of DoD. Also includes the operations of headquarters organizations. Contract personnel are not covered by this category.

12. Comptroller/Resources Management. Covers the budget process, finance and accounting, cost analysis, productivity and management improvement, and the general allocation and continuing evaluation of available resources to accomplish mission objectives. Includes pay and allowances for all DoD personnel and all financial management areas not covered by other reporting categories, including those in connection with OMB Circular A-76 (NOTAL).

13. Support Services. Includes all support services functions financed fro appropriated funds not covered by the other reporting categories, such as health care, veterinary care and legal and public affairs services. All non appropriated fund activities are also covered by this category.

14. Security Assistance[1]. Covers management of DoD Foreign Military Sales, Grant Aid and International Military Education, and Training Programs.

15. Other (Primarily Transportation)[1]. All functional responsibilities not in the previously noted categories, including management and use of land, sea, and air transportation for movement of personnel, material, supplies, and equipment using both military and civilian sources.

[1]Not applicable to COMNAVRESFORCOM

GENERAL INFORMATION - MANAGEMENT CONTROL PROGRAM
COORDINATOR DUTIES AND RESPONSIBILITIES

1. Ensures that the program and reporting requirements are communicated throughout the organization and completed in a timely manner.

2. Prepares the organization's management control plan.

3. Serves as point of contact for the MCP and advises the Commander on program status.

4. Provides guidance and work with managers regarding annual requirements.

5. Provides familiarization training and technical assistance as needed.

6. Ensures the command's inventory of AUs/WPs are reviewed and updated by process owners.

7. Evaluates AUs/WPs for relevancy to the command's mission and associated support.

8. Ensures AUs/WPs are flowcharted and have evidence of an internal control system test and ORM assessment.

9. Retains the command's copies of AU/WP flowcharts and evidence of testing and risk assessment.

10. Compiles management's submission (including positive management control accomplishments) for support of the MCP SOA.

11. Tracks the status of reported material weaknesses identified in the SOA or by the CAP Program concerning AUs and WPs.

ACTIVITY ASSESSABLE UNITS (AUs)/WORK PROCESSES (WPs) INVENTORY/MENU		
1. FUNCTIONAL CATEGORY: RESEARCH, DEVELOPMENT, TEST, AND EVALUATION (N/A)		
2. FUNCTIONAL CATEGORY: MAJOR SYSTEMS ACQUISITION (N/A)		
3. FUNCTIONAL CATEGORY: PROCUREMENT		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Credit Cards - Government Commercial Purchase Card	N4	Annually
Procurement Integrity Act compliance	N4	Annually
Credit Cards - Navy Purchase Card	N4	Annually
Credit Cards - Travel Card	N4	Annually
4. FUNCTIONAL CATEGORY: CONTRACT ADMINISTRATION		
5. FUNCTIONAL CATEGORY: FORCE READINESS		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Medical/Dental Readiness	N01M	Annually
Anthrax Program Management	N01M	Annually
RAMIS Program Management	N01M	Annually
6. FUNCTIONAL CATEGORY: MANUFACTURING, MAINTENANCE, AND REPAIR		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Maintain and update equipment for Emergency Operation Center (EOC)	N34	Annually
7. FUNCTIONAL CATEGORY: SUPPLY OPERATIONS		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Inventory Management (including physical inventory)	N4	Annually
Supply Management (including material requisitioning, issue, receipt)	N4	Annually
8. FUNCTIONAL CATEGORY: PROPERTY MANAGEMENT		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Environmental Compliance	N00GC	Annually
Environmental Installation Restoration	N00GC	Odd years
Environmental Pollution Prevention	N00GC	Even years
Hazardous Material Control Program	N00GC	Odd years
Legal compliance: Heritage/Cultural Assets, Identification and Inventory	N00GC	Odd years
DON AEC/REC Programs	N00GC	Even years
Public-Private venture housing	N00GC	Odd years
Charter schools	N00GC	Even years
Utilities Privatization	N00GC	Odd years

8. FUNCTIONAL CATEGORY: PROPERTY MANAGEMENT		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Major/minor construction on board NAVSUPPACT NAS JRBs	N00GC	Annually
Contract negotiation, drafting, modification, legal reviews	N00GC	Annually
MOUs/MOAs/ISAs/ISSAs drafting, modification, negotiation, legal reviews	N00GC	Every years
Program Reserve Shore Installation Management requirements: Facilities Mission Support Environmental program Physical security/Force Protection	N5 N00E N34	Odd years
Execute Reserve Shore Installation Management programs: Facilities Mission Support Environmental program Physical Security/Force Protection	N5 N00E N34	Odd years
9. FUNCTIONAL CATEGORY: COMMUNICATIONS, SECURITY, AND/OR INTELLIGENCE		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Information Security Program (including classified material)	N01S	Annually
Personnel Security Program	N01S	Annually
Manage and validate security projects submitted by subordinate commands. Validates projects before submitting to CNO for funding	N34	Odd years
Inspect subordinate commands to assess adequacy of Physical Security and Force Protection Program compliance	N34	Every years
Develop Physical Security and Force Protection education and training programs. Provide Force Protection training to military and civilian personnel and adult family members traveling or relocating to overseas locations	N34	Annually
Comply with program requirements for Military Support to Civil Authority (MSCA) and National Security Emergency Preparedness (NSEP)	N34	Annually
Develop policy and guidance for Naval Emergency Planning Liaison Office (NEPLO) program	N34	Annually
Activate disaster response and contingency operations	N34	Annually
NEPLO support/coordination and Force Protection	N34	Annually
10. FUNCTIONAL CATEGORY: INFORMATION TECHNOLOGY		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Pay/Personnel System Change Management	N1	Annually
11. FUNCTIONAL CATEGORY: PERSONNEL AND/OR ORGANIZATIONAL MANAGEMENT		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Assessment - HR	N00CP	Annually
Awards - Civilian	N00CP	Odd year

Civilian Mandatory Training (Sexual Harassment, EEO, Standards of Conduct	N00CP	Ann ally
Civilian Personnel Employment	N00CP	Eve year
Civilian Personnel Performance	N00CP	Odd year
Equal Employment - Civilian	N00CP	Eve year
Drug/Alcohol Programs - Civilian	N00CP	Odd year
Organizational Structure	N00CP	Eve year
Civilian Personnel Employment	N00CP	Odd year
Position Management Program	N00CP	Eve year
Civilian Wage and Classification	N00CP	Odd year
Facts and Justification	N5	Eve year
Religious training and education	N00G	Odd year
Manage religious billets	N00G	Eve year
Manage assignment of personnel to religious billets	N00G	Odd year
Provide referral and assistance to SELRES/Active Duty religious program personnel	N00G	Eve year
Manage CHC/RP Database	N00G	Eve year
Ethics/Standards of Conduct training	N00J	Odd year
Legal training (i.e., Government Ethics, EEO law, Post-Government Employment, Environmental law, etc.)	N00GC	Eve year
Civilian Personnel law	N00GC	Odd year
Mediation - CIV PERS issues	N00GC	Eve year
Arbitration - CIV PERS	N00GC	Odd year
Recruit/interview prospective JAG Corps officers	N00J	Eve year
Mobilization Oversight	N5	Ann ally
Policy Board issues	N5	Ann ally
Medical Personnel Recruiting and Retention	N01M	Eve year
Medical/Dental Readiness Management	N01M	Odd year
Medical policy development	N01M	Odd year
Establishment/placement of medical/dental units	N01M	Eve year
Medical/dental Inspections	N01M	Odd year
Manpower and Personnel Training Oversight	N1	Eve year
End-strength planning	N1	Odd year
End-strength execution	N1	Eve year
Enlisted Community Management	N1	Odd year
Officer Community Management	N1	Eve year
Retention/Attrition Monitoring	N1	Ann ally
NOBC Approval	N1	Odd year
HYT Requirements	N1	Eve year
MGIB-RC	N1	Eve year
Shore Manpower and Requirement Determination Program	N1	Odd year

Billet Authorizations	N1	Ever year
Manning control	N1	Odd year
Policy Information	N1	Ever year
Pay/Personnel Systems Training	N1	Odd year
Command Managed EEO - Military	N01A2	Annually
Drug/Alcohol Programs - Military	N01	Annually
Urinalysis	N01	Annually
General Military Training	N7	Annually
Commercial Activities Program	N1	Ever year

12. FUNCTIONAL CATEGORY: COMPTROLLER/RESOURCES MANAGEMENT

ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Budget Execution	N00F	Annually
Budget Formulation/Justification	N00F	Annually
POM Development/Justification	N00F	Annually
Headquarters Financial Management	N00F	Odd year
Official Representation Funds	N00J	Ever year
Civilian Pay and Time keeping	N00F	Ever year

13. FUNCTIONAL CATEGORY: SUPPORT SERVICES
SUBFUNCTION A. ADMINISTRATIVE SUPPORT

ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Administrative Services (filing, reports, tracking, etc.)	N01A	Odd
Mail Management	N01A	Ever
Directives Management	N01A	Odd
Congressional Inquiries	N01A	Ever

13. FUNCTIONAL CATEGORY: SUPPORT SERVICES
SUBFUNCTION B. AUDIT

ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Audit Follow-up/Liaison	N002	Ever
Command Evaluation Program	N002	Odd
Command Inspection Program	N002	Ever
Investigations (i.e., Hotlines)	N002	Annually
Management Control (MC)	N00C	Odd

13. FUNCTIONAL CATEGORY: SUPPORT SERVICES
SUBFUNCTION C. FACILITIES AND/OR BASE MAINTENANCE

13. FUNCTIONAL CATEGORY: SUPPORT SERVICES SUBFUNCTION D. LEGAL		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Administrative Separation - Military	N00J	Even year
Ethics/Standards of Conduct advice	N00J	Odd year
Freedom of Information/Privacy Act	N00J	Even year
Courts-martial	N00J	Odd year
Nonjudicial punishment	N00J	Even year
JAGMAN investigations	N00J	Odd year
Civilian personnel matters	N00GC	Even year
Article 138, UCMJ Article 1150, Navy Regulations, Complaints of Wrong	N00J	Odd year
Sexual Harassment	N00J	Annually
Detachment for Cause	N00J	Odd year
Incapacitation benefits	N00J	Even year
OLA: Congressional communications/liaison	N00J	Odd year
Hotline Investigations	N00J	Even year
Legal Assistance	N00J	Even year
13. FUNCTIONAL CATEGORY: SUPPORT SERVICES SUBFUNCTION E. MEDICAL		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Notice of eligibility reports	N01M	Odd year
Incapacitation Pay Benefits	N01M	Even year
Physical Evaluation Board processing	N01M	Odd year
Congressional Inquiries - Disability issues	N01M	Even year
Reserve Automated Medical Interim System (RAMIS)	N01M	Annually
Retention issues related to nonservice connected injuries/illnesses	N01M	Even year
13. FUNCTIONAL CATEGORY: SUPPORT SERVICES SUBFUNCTION F. MORALE, WELFARE AND RECREATION		
13. FUNCTIONAL CATEGORY: SUPPORT SERVICES SUBFUNCTION G. RELIGIOUS		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Develop/Implement religious policy	N01G	Annually
Chaplain Professional Development	N01G	Annually
Suicide Awareness	N01G	Annually
Command Religious programs	N01G	Annually
Suicide Prevention	N01G	Annually

13. FUNCTIONAL CATEGORY: SUPPORT SERVICES SUBFUNCTION H. DEFENSE ACTIVITY FOR NONTRADITIONAL EDUCATION SUPPORT		
13. FUNCTIONAL CATEGORY: SUPPORT SERVICES SUBFUNCTION I. PAO		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Provide PAO support to the Echelon II and two Echelon III staffs	N00P	Odd year
Publish, distribute "The Naval Reservist"	N00P	Even year
Coordinate, edit, distribute the "Naval Reserve News Service"	N00P	Odd year
Review, compile, distribute speeches for flag officers as assigned	N00P	Odd year
Manage, coordinate Naval Reserve Force page on the Navy NewsStand web sites	N00P	Even year
Oversee, manage content for all Reserve Force public web sites	N00P	Odd year
Research and coordinate responses to external information queries	N00P	Even year
Assist in coordinating local community relations events	N00P	Odd year
Coordinate speakers and speeches for external community groups	N00P	Even year
13. FUNCTIONAL CATEGORY: SUPPORT SERVICES SUBFUNCTION J. SAFETY		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Safety Policy Development	N00SA	Odd year
Safety Training	N00SA	Annually
Investigation of Employee Reports of Unsafe/Unhealthful Working Conditions	N00SA	Even year
NAVOSH Inspection	N00SA	Odd year
NAVOSH Self-Assessment (PR&MS)	N00SA	Odd year
Mishap Investigation/Reporting (WESS2) and ESAMS Record keeping	N00SA	Odd year
OSHA Inspection/Liaison	N00SA	Even year
Oversight/Guidance/Command Support of all mission-oriented NAVOSH Programs at Lower Echelons	N00SA	Odd year
14. FUNCTIONAL CATEGORY: SECURITY ASSISTANCE (N/A)		
15. FUNCTIONAL CATEGORY: OTHER SUBFUNCTION A. TRANSPORTATION		
ASSESSABLE UNIT/WORK PROCESS	Process Owner	Scheduled Review
Duty/Staff Vehicles	N4	Annually
Vehicle Inventory Control	N4	Annually
Vehicle Maintenance	N4	Annually
Vehicle Utilization	N4	Annually
Motorpool Gas Cards	N4	Annually
15. FUNCTIONAL CATEGORY: OTHER SUBFUNCTION B. SHIP MAINTENANCE AND REPAIR		

SAMPLE

FY 2005 Assessable Unit/Work Process Annual Plan

PM2

FLOW CHART	ASSESSABLE UNIT/WORK PROCESS	DoD FC	PROCESS OWNER	AU/WP MANAGER	METHOD OF CHECK A-Audit, AE-ALT Eval, C-Checklist	PROJECTED COMPLETION DATE	COMPLETION (DD/MM/YY)	WEAKNESS (Y / N)
	Procurement	3						
	Credit cards - Government Commercial Purchase Card		N4	N4		10/03/05		
	Procurement Integrity Act compliance		N4	N4		11/03/05		
	Credit Cards - Navy Purchase Card		N4	N4		12/03/05		
	Credit Cards - Travel Card		N4	N4		14/03/05		
	Force Readiness	5						
	Medical/Dental Readiness		N01M	N01M		14/03/05		
	Anthrax Program Management		N01M	N01M		15/03/05		
	RAMIS Program Manager		N01M	N01M		16/03/05		
	Manufacturing, Maintenance and Repair	6						
	Maintain and update equipment for Emergency Operations Center (EOC)		N34	N34		17/03/05		
	Supply Operations	7						
	Inventory Management (including Physical Inventory)		N4	N4		18/03/05		
	Supply Management (including Material requisitioning, issue, receipt)		N4	N4		21/03/05		
	Property Management	8						
	Environmental Compliance		N00GC	N00GC		22/03/05		
	Restoration		N00GC	N00GC		23/03/05		

Enclosure (8

COMNAVRESFORCOMINST 5200.1
10 MAR 2005

SAMPLE

PM2 (Continued)

FLOW CHART	ASSESSABLE UNIT/WORK PROCESS	DoD FC	PROCESS OWNER	AU/WP MANAGER	METHOD OF CHECK A-Audit AE-ALT Eval C-Checklist	PROJECTED COMPLETION DATE	COMPLETION (MM/DD/YY	WEAKNESS (Y / N)
	Hazardous Material Control Program		N00GC	N00GC		24/03/05		
	Legal compliance: Heritage/Cultural Assets, Identification and Inventory		N00GC	N00GC		25/03/05		
	Public-Private venture housing		N00GC	N00GC		28/03/05		
	Utilities Privatization					29/03/05		
	Major/minor construction on board NAVSUPPACT NAS JRBs		N00GC	N00GC		30/03/05		
	Contract negotiation, drafting, modification, legal reviews		N00GC	N00GC		31/03/05		
	Program Reserve Shore Installation Management requirements: Facilities Mission Support Environmental program Physical security/Force Protection		N5 N00E N34	N5 N00E N34		1/04/05		
	Execute Reserve Shore Installation Management Programs: Facilities Mission Support Environmental program Physical Security/Force Protection		N5 N00E N34	N5 N00E N34		4/04/05		
	Communications, Security and/or Intelligence	9						
	Information Security Program (including classified material)		N01S	N01S		5/04/05		
	Personnel Security Program		N01S	N01S		6/04/05		

SAMPLE

PM2 (Continued)

FLOW CHART	ASSESSABLE UNIT/WORK PROCESS	DoD FC	PROCESS OWNER	AU/WP MANAGER	METHOD OF CHECK A-Audit AE-ALT Eval C-Checklist	PROJECTED COMPLETION DATE	COMPLETION (MM/DD/YY	WEAKNESS (Y / N)
	Manage and validate security projects submitted by subordinate commands. Validates projects before submission to CNO for funding		N34	N34		7/04/05		
	Develop Physical Security and Force Protection education and training programs. Provide Force Protection training to military and civilian personnel and adult family members traveling or relocating to overseas locations		N34	N34		8/04/05		
	Comply with program requirements for Military Support to Civil Authority (MSCA) and National Security Emergency Preparedness (NSEP)		N34	N34		11/04/05		
	Develop policy and guidance for Naval Emergency Planning Liaison Office (NEPLO) program		N34	N34		12/04/05		
	Activate disaster response and contingency operations		N34	N34		13/04/05		
	NEPLO support/coordination and Force Protection		N34	N34		14/04/05		
	Information Technology	10						
	Pay/Personnel System Change Management		N1	N1		15/04/05		
	Personnel and/or Organizational Management	..						
	Assessment - HR		N00CP	N00CP		18/04/05		

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SAMPLE

PM2 (Continued)

FLOW CHART	ASSESSABLE UNIT/WORK PROCESS	DoD FC	PROCESS OWNER	AU/WP MANAGER	METHOD OF CHECK A-Audit AE-ALT Eval C-Checklist	PROJECTED COMPLETION DATE	COMPLETION (MM/DD/YY	WEAKNESS (Y / N)
	Awards - Civilian		N00CP	N00CP		19/04/05		
	Civilian Mandatory Training (Sexual Harassment, EEO, Standards of Conduct)		N00CP	N00CP		20/04/05		
	Civilian Personnel Performance		N00CP	N00CP		21/04/05		
	Drug/Alcohol Programs - Civilian		N00CP	N00CP		25/04/05		
	Civilian Personnel Employment		N00CP	N00CP		26/04/05		
	Civilian Wage and Classification		N00CP	N00CP		27/04/05		
	Religious training and education		N00G	N00G		28/04/05		
	Mange assignment of personnel to religious billets		N00G	N00G		29/04/05		
	Ethics/Standards of Conduct training		N00J	N00J		2/05/05		
	Civilian Personnel law		N00GC	N00GC		3/05/05		
	Arbitration - CIV PERS		N00GC	N00GC		4/05/05		
	Mobilization Oversight		N5	N5		5/05/05		
	Policy Board Issues		N5	N5		6/05/05		
	Medical/Dental Readiness Management		N01M	N01M		9/05/05		
	Medical policy development		N01M	N01M		10/05/05		
	Medical/dental Inspections		N01M	N01M		11/05/05		
	End-strength planning		N1	N1		12/05/05		
	Enlisted Community Management		N1	N1		13/05/05		
	Retention/Attrition Monitoring		N1	N1		14/05/05		
	NOBC Approval		N1	N1		17/05/05		
	Shore Manpower and							
	Program							

SAMPLE

PM2 (Continued)

FLOW CHART	ASSESSABLE UNIT/WORK PROCESS	DoD FC	PROCESS OWNER	AU/WP MANAGER	METHOD OF CHECK A-Audit AE-ALT Eval C-Checklist	PROJECTED COMPLETION DATE	COMPLETION (MM/DD/YY	WEAKNESS (Y / N)
	Manning control		N1	N1		19/05/05		
	Pay/Personnel Systems Training		N1	N1		20/05/05		
	Command Managed EEO - Military		N01A2	N01A2		23/05/05		
	Drug/Alcohol Programs - Military		N01	N01		24/05/05		
	Urinalysis		N01	N01		25/05/05		
	General Military Training		N7	N7		26/05/05		
	Comptroller/Resources Management	12						
	Budget Execution		N00F	N00F		27/05/05		
	Budget Formulation/Justification		N00F	N00F		30/05/05		
	POM Development/Justification		N00F	N00F		31/05/05		
	Headquarters Financial Management		N00F	N00F		1/06/05		
	Support Services SUBFUNCTION A. Administrative Support	13						
	Administrative Services (filing, reports, tracking, etc.)		N01A	N01A		2/06/05		
	Directives Management		N01A	N01A		3/06/05		
	Support Services SUBFUNCTION B. Audit	13						
	Command Evaluation Program		N002	N002		6/06/05		
	Investigations (i.e., [illegible])		N002	N002		7/06/05		

COMNAVRESFORCOMINST 5200.1
10 MAR 2005

SAMPLE

PM2 (Continued)

FLOW CHART	ASSESSABLE UNIT/WORK PROCESS	DoD FC	PROCESS OWNER	AU/WP MANAGER	METHOD OF CHECK A-Audit AE-ALT Eval C-Checklist	PROJECTED COMPLETION DATE	COMPLETION (MM/DD/YY	WEAKNESS (Y / N)
	Support Services SUBFUNCTION D. Legal	13						
	Ethics/Standards of Conduct advice		N00J	N00J		8/06/05		
	Courts-martial		N00J	N00J		9/06/05		
	JAGMAN investigations		N00J	N00J		10/06/05		
	Article 138, UCMJ Article 1150, Navy Regulations, Complaints of Wrong		N00J	N00J		10/06/05		
	Sexual Harassment		N00J	N00J		10/06/05		
	Detachment for Cause		N00J	N00J		13/06/05		
	OLA: Congressional communications/liaison		N00J	N00J		13/06/05		
	Support Services SUBFUNCTION E. Medical	13						
	Notice of eligibility reports		N00J	N01M		14/06/05		
	Physical Evaluation Board processing		N01M	N01M		14/06/05		
	Reserve Automated Medical Interim System (RAMIS)		N01M	N01M		15/06/05		
	Support Services SUBFUNCTION G. Religious	13						
	Develop/Implement religious policy		N01G	N01G		15/06/05		
	Chaplain Professional		N01G	N01G		16/06/05		
	Suicide Awareness		N01G	N01G		16/06/05		
	Command Religious Programs		N01G	N01G		17/06/05		
	Suicide Prevention		N01G	N01G		17/06/05		
	Support Services	13						
	Provide PAO Support to the Echelon II and two Echelon III staffs		N00P	N00P		21/06/05		

SAMPLE

PM2 (Continued)

FLOW CHART	ASSESSABLE UNIT/WORK PROCESS	DoD FC	PROCESS OWNER	AU/WP MANAGER	METHOD OF CHECK A-Audit AE-ALT Eval C-Checklist	PROJECTED COMPLETION DATE	COMPLETION (MM/DD/YY	WEAKNESS (Y / N)
	Coordinate, edit, distribute the "Naval Reserve News Service"		N00P	N00P		21/06//05		
	Review, compile, distribute speeches for flag officers as assigned		N00P	N00P		22/06/05		
	Oversee, manage content for all Reserve Force public web sites		N00P	N00P		22/06/05		
	Assist in coordination of local community relations events		N00P	N00P		32306/05		
	Support Services SUBFUNCTION J. Safety	13						
	Safety Policy Development		N00SA	N00SA		23/06/05		
	Safety Training		N00SA	N00SA		24/06/05		
	NAVOSH Inspection		N00SA	N00SA		24/06/05		
	NAVOSH Self-Assessment (PR&MS)		N00SA	N00SA		27/06/05		
	Mishap Investigation/ Reporting (WESS2) and ESAMS Record keeping		N00SA	N00SA		27/06/05		
	Oversight/Guidance/Command Support of all mission-oriented NAVOSH Programs at Lower Echelons		N00SA	N00SA		28/06/05		
	Other SUBFUNCTION A. Transportation	15						
	Duty/Staff Vehicle		N4	N4		28/06/05		

COMNAVRESFORCOMINST 5200.1
10 MAR 2005

SAMPLE

PM2 (Continued)

FLOW CHART	ASSESSABLE UNIT/WORK PROCCESS	DoD FC	PROCESS OWNER	AU/WP MANAGER	METHOD OF CHECK A-AUDIT AE-ALT Eval C-Checklist	PROJECTED COMPLETION DATE	COMPLETION (MM/DD/YY)	WEAKNESS (Y / N)
	Vehicle Inventory Control		N4	N4		29/06/05		
	Vehicle Maintenance		N4	N4		29/06/05		
	Vehicle Usage		N4	N4		30/06/05		
	Motorpool Gas Cards		N4	N4		30/06/05		

Pay/Personnel System Training
Start: Individual Training Requirements
Start: Mass Training Requirements
Pay/Personnel System Change Process Result or New System
Advertise and Communicate Changes and Means of Training
Curriculum Development and Instructor Training
Member Assigned to Pay/Personnel Administration Management Position
Class of Personnel Identified for New System Training
Prior Pay/Pers Systems Experience?
Yes
No
TAD Funding Available?
Yes
No
Refresher Training Necessary?
Yes
No
End. Personnel Adequately Trained
End. Personnel Adequately Trained
School House Training
Training Team Training
Web Based Training
On-the-Job Training

Enclosure (9

SAMPLE ACTIVITY MANAGEMENT CONTROL ANNUAL ASSURANCE STATEMENT

From: Responsible Official (Commanding Officer of OIC)
To: Next higher level in the chain of command

Subj: MANAGEMENT CONTROL ANNUAL ASSURANCE STATEMENT

Ref: (a) COMNAVRESFORCOMINST 5200.6D

Encl: (1) Major Accomplishments (see Attachment A for example)
(2) Material Weaknesses (use enclosure (11) format)
(3) Status of Corrective Actions (use enclosure (11) format)

1. I have taken the necessary measures to ensure that the system of interna controls in effect during Fiscal Year (current FY) within (Department or Command) has been evaluated per reference (a). Major accomplishments are in enclosure (1).

2. (Select one of the following statements)

I have reasonable assurance that management controls are in place and operating effectively. The objectives of the Federal Managers' Financial Integrity Act were achieved. (or)

I have reasonable assurance that management controls are in place and operating effectively, except for the material weaknesses discussed in enclosures (2) and (3). The objectives of the Federal Managers' Financial Integrity Act were achieved. (or)

I do not have reasonable assurance that controls are in place and workin effectively, as discussed in enclosures (2) and (3). However, remedial action is being taken to ensure compliance with the objectives of the Federa Managers' Financial Integrity Act.

3. Information to support the certification statement was derived from process analyses, audits, inspections, investigations and other management information, such as knowledge gained from daily operations of programs and functions.

Signed by Appropriate Responsible Officia

MAJOR ACCOMPLISHMENTS
1. General Information.
(a) Command/Activity: UIC:
(b) Department:
(c) Functional Category:
(d) Assessable Unit (AU)/ Work Process (WP):
(e) Point of Contact:
2. Major Accomplishments.
Discuss major steps taken to promote a control-conscious environment within the act vity, or measures to strengthen internal controls:

FORMAT FOR REPORTING MATERIAL WEAKNESSES FOR INFORMATION OR WHEN REQUESTED B CNO

Title and Description of the Material Weakness: Use the title from the source document. Provide a brief narrative summary describing the material weakness and its scope; i.e., local, area-wide, service-wide, etc.

Functional Category: Choose one of the 15 DoD categories.

Pace of Corrective Action: The five items below identify the pace of corrective action. All dates are to be reported by fiscal year (FY).

Year Identified: Identify the FY the material weakness was first reported i the organization/component's annual statement of assurance.

Original Targeted Correction Date: Provide the original target correction date contained in the initial report of this material weakness.

Targeted Correction Date in Last Year's Report: Provide the target correction date that was reported in the previous year's annual statement of assurance. Enter N/A for current year material weakness.

Current Target Date: Indicate the current target correction date.

Reason for change in Date(s): If targeted correction date and current targe date are different, explain the reason for the change. Enter N/A, if unchanged.

Component/Appropriation/Account Number: Identify the appropriation(s) and account number(s) related to the described material weakness using the standard DOD designation, e.g., FY 1999 Operation and Maintenance, Navy (O&MN), 1771804.

Validation Process: Briefly explain how the effectiveness of the corrective action(s) will be demonstrated.

Results Indicators: Provide a short description of how the corrective actions improve the function, process or procedure. Monetary benefits (if any) should be reported here.

Source(s) Identifying Weakness: Provide the source(s) used to identify the material weakness, e.g., audit. When using a source other than a management review, cite the report number, title and date. List all sources individually.

Major Milestones in Corrective Action: A milestone chart is to be provided which indicates actions taken and actions planned. It should be separated into three categories:

Completed Milestones:

Date: Milestone:

Planned Milestones (Next FY)

Date: Milestone:

Planned Milestones (Beyond Next FY)

Date: Milestone:

Verification: (Completion date and verification actions)

Point of Contact: Provide name and telephone number (voice and fax) and e-mail address, if applicable.